

AREA 080	DIVISION 080	NUMBER 2009-Qtr 1
EVALUATED BY A. Lagergren, A13507		DATE 03/30/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		COMMANDER'S REVIEW D. S. MacGregor	DATE
<input type="checkbox"/> Correction Report BY _____		EVALUATED 03/30/09	ACTION REQUIRED No
			CORRECTED

1. CLERICAL TASKS

a. Is the office well organized? ☒ Yes ☐ No

(1) Are there written job descriptions? ☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk? ☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them? ☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency? ☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively? ☐ Yes ☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.? ☐ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent? ☐ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective? ☐ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills? ☐ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates? ☐ Yes ☐ No

(b) Is the clerical supervisor an effective manager? ☐ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential? ☐ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development? ☐ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? ☐ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees? ☐ Yes ☐ No

(3) Does the supervisor set a good example? ☐ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel? ☐ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor? ☐ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed? ☐ Yes ☐ No

(5) Does the OSS participate in Area staff meetings? ☐ Yes ☐ No

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
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2. FILING SYSTEM

EVALUATED
03/30/09

ACTION REQUIRED
No

CORRECTED

- a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide? ☒ Yes ☐ No
- b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy? ☒ Yes ☐ No
- (1) How far back are accident reports being maintained? Division newly created.
- (2) Is there a filing backlog? ☐ Yes ☒ No
- (3) Is there evidence of recent office review? ☐ Yes ☒ No
- (4) How are Management and All Commanders Memorandums filed and purged? Division Library maintained. Files purged based on records retention schedule.
- (5) Are Training and Information Bulletins filed? ☒ Yes ☐ No
- (a) If so, how are they located? Bulletins are posted and filed based on records retention schedule
- (6) Do all clerical employees understand the filing system? ☒ Yes ☐ No
- (7) Does the Area have an effective suspense system? ☒ Yes ☐ No
- (a) Do all supervisors take advantage of the suspense system? ☒ Yes ☐ No
- c. Are personnel files properly secured and access limited? ☒ Yes ☐ No
- (1) Are the requirements of the Information Practices Act being followed? ☒ Yes ☐ No
- (2) Is a periodic review done on a regular basis? ☒ Yes ☐ No
- (a) If so, how often? Initially upon receipt of folder, then yearly
- (3) Is annual employee review and updating conducted as required? ☒ Yes ☐ No
- (4) Are only required or permitted items contained in personnel folders? ☒ Yes ☐ No

3. SECURITY OF CRIMINAL RECORDS

EVALUATED
03/30/09

ACTION REQUIRED

CORRECTED

- a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records? ☐ Yes ☐ No
- (1) Has the Area designated a specific person to release criminal offender record information? ☐ Yes ☐ No
- (a) Do any other persons release this information? ☐ Yes ☐ No
- (b) Has the designated person completed the required training? ☐ Yes ☐ No
- (c) Are safeguards in place to verify telephone inquiries prior to disclosure? ☐ Yes ☐ No
- (2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log? ☐ Yes ☐ No
- (a) Are entries maintained for the prescribed period of time? ☐ Yes ☐ No

4. FISCAL PROCEDURES

EVALUATED
03/30/09

ACTION REQUIRED

CORRECTED

- a. Have discrepancies on the most current audit reports been corrected? *First Report / audit* ☐ Yes ☐ No

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(1) Are all change fund and collections handled and processed according to policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? State Security Division does not maintain cash funds or have cashier responsibilities.		
(h) Is a supervisor responsible for review of the system?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? N/A

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☐ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☐ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☐ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☐ Yes ☐ No

c. Is security of the postage machine adequate? ☐ Yes ☐ No

(1) Is the machine locked when not in use? ☐ Yes ☐ No

(2) Is the meter reading documented as required? ☐ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☐ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
03/30/09

ACTION REQUIRED

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? 081 Staff Services Analyst

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
03/30/09

ACTION REQUIRED

CORRECTED

a. Are all cameras assigned to the command accounted for? ☐ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☐ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☐ Yes ☐ No

(a) What is his/her preventative maintenance schedule?

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

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(1) Is there adequate security for extender batteries and other supplies?

☒ Yes ☐ No**7. OFFICE EQUIPMENT**

EVALUATED

03/30/09

ACTION REQUIRED

CORRECTED

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☒ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? Division staff

(2) How is training provided, and by whom? On-line CLETS training

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☐ Yes ☒ No

(7) What system is used to ensure proper routing of MIS information? Routing of hard copy

c. Are personal computers used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? Division staff

(2) How is training provided, and by whom? On the job training or out service training

(a) How many employees are trained in its use? 4

(3) Are there restrictions on the time its used?

☐ Yes ☒ No

(a) Is there a schedule for uniformed and nonuniformed employees?

☐ Yes ☒ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☐ Yes ☒ No

(a) If so, is the PC password protected?

☒ Yes ☐ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☒ Yes ☐ No

(5) What is the PC being used for? Preparing staff projects, reports, access CHP publications, etc.

(6) Are controls present to prevent inappropriate/personal use of the computer?

☒ Yes ☐ No

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(7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? Occasional reviews

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED
03/30/09

ACTION REQUIRED

CORRECTED

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? ☐ Yes ☐ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☐ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED
03/30/09

ACTION REQUIRED

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned?

(1) Are tests and test keys kept in a secure place? ☐ Yes ☐ No

(2) How are interested parties advised of testing procedures?

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☐ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☐ Yes ☐ No

(3) How are test disposed of?

(4) Is there a specific date and time set aside for testing? ☐ Yes ☐ No

10. COURT INFORMATION PROCEDURES

EVALUATED
03/30/09

ACTION REQUIRED

CORRECTED

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

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(1) What controls are in place to ensure officers appear in court? Officers are not assigned to Division.

(a) How are appearances minimized following cancellations? Officers are not assigned to Division.

(b) How are "short notice" cancellations minimized? Officers are not assigned to Division. However, officers within Sections are directed to District Attorney's office, court, attorney, etc. prior to the day of travel for court.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?

☐ Yes ☐ No

(3) Who is responsible for managing the process? Division Office Assistant

(a) Are court officers performing duties that could be handled by clerical personnel?

☐ Yes ☐ No

11. DEPARTMENTAL MANUALS

EVALUATED
03/30/09

ACTION REQUIRED

CORRECTED

a. Are the number of authorized libraries being maintained?

☐ Yes ☒ No

(1) Are the libraries convenient for those who must use them?

☐ Yes ☒ No

(a) What controls are in place for "loaning" manuals to employees? Currently Division does not have a library of manuals. Once we move to the new CHP HQ and merge with EOS-082, their library will become Division library. Currently staff uses the on-line library.

(2) Are publications distinctively marked so they can be readily identified?

☐ Yes ☐ No

(a) Are the number of libraries excessive or sufficient?

(b) Is there a listing available of what should be in each library?

☐ Yes ☐ No

(3) Are publications kept up-to-date?

☐ Yes ☐ No

(4) Who files publication changes?

N/A

AREA 081	DIVISION State Security	NUMBER 1
EVALUATED BY Andrew Silcox, #12552		DATE 03/09/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE 03/24/2009	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Correction Report BY _____ <div style="text-align: center; font-size: 1.5em;"><i>KS</i></div>	COMMANDER'S REVIEW <div style="text-align: center; font-size: 1.5em;"><i>KS</i></div>
DATE 3/30/09		EVALUATED 03/18/2009	ACTION REQUIRED CORRECTED

1. CLERICAL TASKS

a. Is the office well organized?

☒ Yes ☐ No

(1) Are there written job descriptions?

☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk?

☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them?

☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency?

☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively?

☒ Yes ☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?

☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent?

☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective?

☐ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills?

☐ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?

☐ Yes ☐ No

(b) Is the clerical supervisor an effective manager?

☐ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential?

☐ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development?

☐ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?

☐ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?

☐ Yes ☐ No

(3) Does the supervisor set a good example?

☐ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel?

☐ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?

☐ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed?

☐ Yes ☐ No

(5) Does the OSS participate in Area staff meetings?

☐ Yes ☐ No

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2. FILING SYSTEM	EVALUATED 03/18/2009	ACTION REQUIRED	CORRECTED
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained?	n/a		
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged?			Files are purged based on the records retention schedule.
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located?			Bulletins are posted and then filed based on the file plan and retention schedule.
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often?			Practices are reviewed on a quarterly basis.
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	EVALUATED 03/18/2009	ACTION REQUIRED	CORRECTED
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(b) Has the designated person completed the required training?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	EVALUATED 03/18/2009	ACTION REQUIRED	CORRECTED
a. Have discrepancies on the most current audit reports been corrected?			<input type="checkbox"/> Yes <input type="checkbox"/> No

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(1) Are all change fund and collections handled and processed according to policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? CTTA does not maintain cash funds of any kind nor does it have cashier responsibilities.		
(h) Is a supervisor responsible for review of the system?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? Identified purchases are assigned a project tracking number and given a suspense date for completion. This allows orders to be tracked and located at a later time if needed.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☐ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☐ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☐ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☐ Yes ☐ No

c. Is security of the postage machine adequate? ☐ Yes ☐ No

(1) Is the machine locked when not in use? ☐ Yes ☐ No

(2) Is the meter reading documented as required? ☐ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☐ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
03/18/2009

ACTION REQUIRED

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? Jessica Wilson, Staff Services Analyst

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☐ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☐ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
03/19/2009

ACTION REQUIRED

CORRECTED

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? Cameras are maintained in cases and checked on a quarterly basis for serviceability. They are locked away when not in use. A log is maintained for sign out/in.

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

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(1) Is there adequate security for extender batteries and other supplies?

☐ Yes ☒ No**7. OFFICE EQUIPMENT**EVALUATED
03/18/2009

ACTION REQUIRED

CORRECTED

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☐ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? Pam Greeley, Andrew Silcox

(2) How is training provided, and by whom? Training is provided as needed on the job.

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☐ Yes ☒ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☐ Yes ☒ No

(7) What system is used to ensure proper routing of MIS information? E-mail and bulletin postings

c. Are personal computers used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? Sergeant Silcox, Officer Riffin, Officer Klarcyk, AGPA Colston, SSA Wilson

(2) How is training provided, and by whom? On the job training with assistance from knowledgeable individuals.

(a) How many employees are trained in its use? 5

(3) Are there restrictions on the time its used?

☐ Yes ☒ No

(a) Is there a schedule for uniformed and nonuniformed employees?

☐ Yes ☒ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☐ Yes ☒ No

(a) If so, is the PC password protected?

☒ Yes ☐ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☒ Yes ☐ No

(5) What is the PC being used for? Everyday office requirements (i.e., memos, reports, research, purchasing)

(6) Are controls present to prevent inappropriate/personal use of the computer?

☒ Yes ☐ No

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(7) Are backup procedures being performed on a regular basis? ☐ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☐ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? Records retention schedules are followed and documents are purged as required.

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED
03/18/2009

ACTION REQUIRED

CORRECTED

a. Does the office have extended office hours? ☐ Yes ☒ No

(1) If so, are they adequate and effective? ☐ Yes ☐ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☐ Yes ☒ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED
03/18/2009

ACTION REQUIRED

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? N/A

(1) Are tests and test keys kept in a secure place? ☐ Yes ☐ No

(2) How are interested parties advised of testing procedures?

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☐ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☐ Yes ☐ No

(3) How are test disposed of?

(4) Is there a specific date and time set aside for testing? ☐ Yes ☐ No

10. COURT INFORMATION PROCEDURES

EVALUATED
03/18/2009

ACTION REQUIRED

CORRECTED

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

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(1) What controls are in place to ensure officers appear in court? Office assistant logs in receipt of subpoena and serves the officer. If there appears to be a problem with the officer appearing in court the supervisor makes contact with the court and the officer in question.

(a) How are appearances minimized following cancellations? Clerical personnel will make contact with the officer prior to court by telephone and log the cancellation.

(b) How are "short notice" cancellations minimized? Clerical personnel will make all attempts to contact the officer with cancellation information.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?

☒ Yes ☐ No

(3) Who is responsible for managing the process? Office Assistant Pam Greeley

(a) Are court officers performing duties that could be handled by clerical personnel?

☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED
03/19/2009

ACTION REQUIRED

CORRECTED

a. Are the number of authorized libraries being maintained?

☐ Yes ☒ No

(1) Are the libraries convenient for those who must use them?

☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? Emergency Operations Section (EOS) maintains a library at the current time. Their library will become the division library when both sections and the division share the same space at the new headquarters building. Currently, CTTA Section utilizes the electronic publications library.

(2) Are publications distinctively marked so they can be readily identified?

N/A

☐ Yes ☐ No

(a) Are the number of libraries excessive or sufficient?

(b) Is there a listing available of what should be in each library?

☐ Yes ☐ No

(3) Are publications kept up-to-date?

N/A

☐ Yes ☐ No

(4) Who files publication changes?

N/A

AREA MANAGEMENT EVALUATION SUPPLEMENT

CHP 454 (Rev. 5-06) OPI 009

SUBJECT: Office Management Evaluation, Counterterrorism and Threat Awareness (CTTA) Section

DATE: 03/23/2009

SECTIONS	COMMENTS
1. Clerical Tasks	Clerical tasks are divided between the division Office Assistant and the section Staff Services
b. 1-5 are not applicable	Analyst. The section is not assigned an Office Services Supervisor.
2. Filing System	The sections filing system is maintained by the various program managers with copies of completed projects maintained by the division OA in both the section and division files. The section is unique in that centralized files are maintained by the division OA due to the lack of a section OA or OT.
3. Security of Criminal Records	The section has no need to access criminal offender records. If a need is identified someone will be designated and trained to safeguard records and maintain a log.
a. (1) and (2) are not applicable	
4. Fiscal Procedures	Section does not maintain any cash funds and are exempt from cash reporting requirements.
a. (1) and (2) are not applicable	X number services and bank cards records and procedures are maintained per policy.
5. Supply Requisitions (CHP 41)	Section requisitions are prepared by Jessica Wilson. A practical stock of supplies is maintained.
(3) is not applicable	
6. Supplies	A log of high value item was created, to log in and out cameras and laptops for accountability.
7. Office Equipment	Section has a minimal number of office machines. As yet there is no maintenance agreement to service copy machines since we don't have one assigned. There is no formal training program set up to instruct personnel on various departmental programs other than on the job training.
8. Public Contacts	Section has no public contact other than by telephone. Section has adequate phone coverage throughout the week to handle phone inquires.
9. School Bus Driver Exam	Section has no responsibilities for this program.
a. (1) - (4) is not applicable	
10. Court Information Procedures	Due to the unique structure of this section responsibilities for this function are handled through the division OA. A log is maintained for subpoenas's received and originals are maintained to include dates of service and or cancellation.
11. Departmental Manuals	Division will share one library maintained currently at Emergency Operations Section.

AREA <u>082</u>	DIVISION <u>080</u>	NUMBER
EVALUATED BY <u>L. M. APLES, CAPT 13693</u>		DATE <u>3/11 - 3/23/09</u>

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		COMMANDER'S REVIEW	
BY _____		DATE	
1. CLERICAL TASKS		EVALUATED <input checked="" type="checkbox"/>	ACTION REQUIRED <input type="checkbox"/>
		CORRECTED	

a. Is the office well organized? ☒ Yes ☐ No

(1) Are there written job descriptions? ☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk? ☒ Yes ☐ No

NOTE: ELECTRONIC COPY MAINTAINED

(b) Does clerical staff understand what is expected of them? ☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency? ☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively? ☐ Yes ☐ No *n/a*

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.? ☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent? ☒ Yes ☐ No

ESSENTIAL FUNCTIONS

b. Is the Office Services Supervisor (OSS) effective? ☐ Yes ☐ No *n/a*

(1) Does he/she properly apply management philosophies and supervisory skills? ☐ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates? ☐ Yes ☐ No

(b) Is the clerical supervisor an effective manager? ☐ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential? ☐ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development? ☐ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? ☐ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees? ☐ Yes ☐ No

(3) Does the supervisor set a good example? ☐ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel? ☐ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor? ☐ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed? ☒ Yes ☐ No

(5) Does the OSS participate in Area staff meetings? ☐ Yes ☒ No

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2. FILING SYSTEM	EVALUATED	ACTION REQUIRED	CORRECTED
	✓		

a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide? ☒ Yes ☐ No

b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy? ☒ Yes ☐ No

(1) How far back are accident reports being maintained? *N/A*

(2) Is there a filing backlog? ☐ Yes ☒ No

(3) Is there evidence of recent office review? ☒ Yes ☐ No

(4) How are Management and All Commanders Memorandums filed and purged? *FILED IN BINDERS IN COMMAND*

LIBRARY. REVIEWED AND PURGED PER RETENTION SCHEDULE.

(5) Are Training and Information Bulletins filed? ☒ Yes ☐ No

(a) If so, how are they located? *FILED IN BINDERS IN COMMAND LIBRARY.*

(6) Do all clerical employees understand the filing system? ☒ Yes ☐ No

(7) Does the Area have an effective suspense system? ☒ Yes ☐ No

(a) Do all supervisors take advantage of the suspense system? *FOR ITEMS SUCH AS RECOVERING PROFILES, 118's, ETC.* ☒ Yes ☐ No

c. Are personnel files properly secured and access limited? ☒ Yes ☐ No

(1) Are the requirements of the Information Practices Act being followed? *11.1 CH 13* ☒ Yes ☐ No

(2) Is a periodic review done on a regular basis? ☒ Yes ☐ No

(a) If so, how often? *DURING INDIVIDUAL, YEARLY EVALUATION PROCESS*

(3) Is annual employee review and updating conducted as required? *PER 118 PROCESS* ☒ Yes ☐ No

(4) Are only required or permitted items contained in personnel folders? ☒ Yes ☐ No

3. SECURITY OF CRIMINAL RECORDS	EVALUATED	ACTION REQUIRED	CORRECTED
<i>N/A</i>	✓		

a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records? ☐ Yes ☐ No

(1) Has the Area designated a specific person to release criminal offender record information? ☐ Yes ☐ No

(a) Do any other persons release this information? ☐ Yes ☐ No

(b) Has the designated person completed the required training? ☐ Yes ☐ No

(c) Are safeguards in place to verify telephone inquiries prior to disclosure? ☐ Yes ☐ No

(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log? ☐ Yes ☐ No

(a) Are entries maintained for the prescribed period of time? ☐ Yes ☒ No

4. FISCAL PROCEDURES	EVALUATED	ACTION REQUIRED	CORRECTED
	✓		

a. Have discrepancies on the most current audit reports been corrected? *"LAST REPORT HAS NOT BEEN RECEIVED."* ☐ Yes ☐ No

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(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<i>SECTION DOES NOT ISSUE DL45s.</i>		
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<i>"</i>		
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<i>n/a</i>		
(g) What specific guidelines are in place for security control and accountability?		
<i>Collected funds (i.e. for civil court attachments) are secured in a locked drawer w/ limited access to keys; duties are separated; audit conducted 11/10</i>		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
<i>NOT TO DATE</i>		
(2) Are security and accountability procedures in place for the petty cash fund?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<i>COMMANDER DOES NOT RETAIN A PETTY CASH FUND</i>		
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>NOTE: NOT VALID FOR SECURITY CAMERAS.</i>		
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? THERE IS A WEEKLY

"SUSPENSE" ITEM (IN AN ESTABLISHED FILE) ARE WEEKLY TRANSMITTALS.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No NOT AS REPORTED

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☐ Yes ☐ No N/A

c. Is security of the postage machine adequate? ☐ Yes ☐ No N/A

(1) Is the machine locked when not in use? ☐ Yes ☐ No N/A

(2) Is the meter reading documented as required? ☐ Yes ☐ No N/A

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☐ Yes ☐ No N/A

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED

ACTION REQUIRED

CORRECTED

☒

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them?

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☐ Yes ☐ No N/A

PER SSU MASTER CATALOG, HEADQUARTERS COMMANDS CAN SUBMIT TO MONTHLY SUPPLY REQUISITIONS

(a) Is the quarterly requisition period for this command adhered to? ☐ Yes ☐ No N/A

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED

ACTION REQUIRED

CORRECTED

☒

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☐ Yes ☒ No

(a) What is his/her preventative maintenance schedule?

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No 3/20/09

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(1) Is there adequate security for extender batteries and other supplies?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
7. OFFICE EQUIPMENT	EVALUATED	ACTION REQUIRED	CORRECTED
a. Are office machines in good condition and properly maintained?	✓		
(1) Is the vendor complying with maintenance contract provisions?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is there a shortage or surplus of machines?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Is the Management Information System (MIS) used properly?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Who is authorized to use the equipment?	MIS CAN BE ACCESSSED FROM PERSONNEL'S		
(2) How is training provided, and by whom?	"DESK TOP" COMPUTERS; ONLY DESIGNATED COMPUTERS HAVE PERMISSIONS ON LINE CLERK TRAINING.		
(3) Is there a usage schedule for uniformed and nonuniformed personnel?	NOTE: NOT NEEDED	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Are there controls in place to ensure confidentiality?	USER LOG-ON	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) Are all personnel aware of how to request repairs after normal business hours?	NOTE: HOT DESK	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(7) What system is used to ensure proper routing of MIS information?			
c. Are personal computers used properly?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment?	ALL STAFF MEMBERS.		
(2) How is training provided, and by whom?	IN-COMING CLERICAL STAFF ARE TRAINED BY O.T. OTHER MEMBERS ARE TRAINED BY SECTION PLANNERS, SUPERVISORS, AND MANAGER.		
(a) How many employees are trained in its use?			
(3) Are there restrictions on the time its used?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(a) Is there a schedule for uniformed and nonuniformed employees?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Is confidential or sensitive information being stored on a PC hard drive?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(a) If so, is the PC password protected?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) What is the PC being used for?	STAFF REQUESTS		
(6) Are controls present to prevent inappropriate/personal use of the computer?		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis?

☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area?

☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users?

☒ Yes ☐ No

THROUGH IHD OR ON-LINE RESOURCES.

(9) What procedures are in place to ensure out-of-date documents and files are purged?

OCCASIONAL REVIEWS AND CLERICAL REMINDERS; HOWEVER, MOST
DOCUMENTS SAID HAVE A HISTORICAL RELEVANCE.

(10) Are employees aware of the availability of assistance in resolving computer related problems?

☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs?

☒ Yes ☐ No**8. PUBLIC CONTACTS**

EVALUATED

ACTION REQUIRED

CORRECTED

✓

a. Does the office have extended office hours?

☐ Yes ☐ No

(1) If so, are they adequate and effective?

☐ Yes ☐ No

b. Are persons served promptly and courteously?

☒ Yes ☐ No

(1) Are backup personnel immediately available?

☒ Yes ☐ No

(2) Is telephone service both efficient and effective?

☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones?

☐ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum?

☒ Yes ☐ No**9. SCHOOL BUS DRIVER EXAMINATIONS**

EVALUATED

ACTION REQUIRED

CORRECTED

✓

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned?

(1) Are tests and test keys kept in a secure place?

☐ Yes ☐ No

(2) How are interested parties advised of testing procedures?

(a) Are exams graded in the presence of the applicant, and missed questions discussed?

☐ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly?

☐ Yes ☐ No

(3) How are test disposed of?

(4) Is there a specific date and time set aside for testing?

☐ Yes ☐ No**10. COURT INFORMATION PROCEDURES**

EVALUATED

ACTION REQUIRED

CORRECTED

✓

a. Is there a systematic method of coordinating court appearance matters?

☒ Yes ☐ No

(1) What controls are in place to ensure officers appear in court?

A SUBPOENA LOG IS MAINTAINED
& PROCEEDURES ARE IN PLACE FOR OFFICERS/SERGEANTS TO BE
"SERVED" & SERVICE IS RECORDED ON A SPECIFIC RETURN SLIP.

(a) How are appearances minimized following cancellations?

OFFICERS, SERGEANTS ARE DIRECTED
TO CALL AND VERIFY COURT APPEARANCES / CANCELLATIONS.

(b) How are "short notice" cancellations minimized?

OFFICERS, SERGEANTS ARE DIRECTED TO CALL
DAYS, COURTS, ATTORNEYS, ETC. PRIOR TO DAY OF TRIAL DAY ASSIGNED
W/ APPEARANCE.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?

☒ Yes ☐ No

(3) Who is responsible for managing the process?

SECTION SUPERVISORS; OFFICE ASSISTANT

(a) Are court officers performing duties that could be handled by clerical personnel?

"NO ASSIGNED
COURT OFFICERS"

☐ Yes ☐ No

11. DEPARTMENTAL MANUALS

EVALUATED

✓

ACTION REQUIRED

CORRECTED

a. Are the number of authorized libraries being maintained?

☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them?

☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees?

ALL EMPLOYEES ACCESS MANUALS
VIA THE "ON-LINE" LIBRARY.

(2) Are publications distinctively marked so they can be readily identified?

☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient?

THE COMMAND INHERITED AN ADDITIONAL LIBRARY; HOWEVER, ONLY ONE IS MAINTAINED.

(b) Is there a listing available of what should be in each library?

☒ Yes ☐ No

(3) Are publications kept up-to-date?

☒ Yes ☐ No

(4) Who files publication changes?

OFFICE ASSISTANT